

Jet Propulsion Laboratory

Certification and Waiver Procedures Year 2000 Project

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Approved by:



Richard P. Mathison, Manager
JPL Year 2000 Project

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I. Introduction

NASA Headquarters requires that the JPL Year 2000 Project (Y2k) formally certify the compliance of JPL information technology systems, i.e. Y2k inventory items, for compliance with year 2000 requirements. Certification means that the cognizant individual and the approving parties agree to the best of their professional ability that the certifying statement is accurate.

The requirements that each system must meet are stated in *JPL Year 2000 Compliance Requirements, D-15859. Certification and Waiver Procedures* prescribes the procedures for formally recording certification of Commercial-Off-The-Shelf (COTS) products, Contractor-implemented systems, and JPL-implemented systems. It also prescribes the procedures for waiving any of the Y2k Project requirements. The scope of the certification procedures applies to all systems that are required to be Y2k inventoried per *Year 2000 (Y2k) Inventory Requirements, Y2k Policy Y2k-1*.

A. Certifications

Section II describes four certification procedures:

- Vendor-certified Commercial-Off-the-Shelf Products
- JPL-tested-and-certified Commercial-Off-the-Shelf Products
- JPL-implemented Systems
- Documented and Certified as Not-date-affected

Vendor-certified Commercial-Off-the-Shelf Products applies whenever the information provided by the vendor about their product satisfies the JPL cognizant individual and the Y2k Project Engineering Manager that the product adequately meets the JPL Y2k compliance requirements for the intended use of the product. This certification is expected to be used whenever the COTS product is the main element, only element, or only date-affected element of the system under consideration.

JPL-tested-and-certified Commercial-Off-the-Shelf Products applies whenever two conditions exist. First, the information provided by the vendor about their product does not satisfy the JPL cognizant individual or the Y2k Project Engineering Manager that the product adequately meets the JPL Y2k compliance requirements for the intended use of the product. Second, the COTS product is the main element, only element, or only date-affected element of the system under consideration. Whenever the product is part of a larger including system and will be tested during system integration tests, the procedure for JPL-implemented systems should be used.

JPL-implemented Systems applies to systems that JPL has implemented whether the system includes COTS products or not. It also applies to inventory items that subcontractors implement for JPL but are not certified as Y2k compliant by the subcontractor. If the system includes COTS products (usual case), the COTS products may be tested and certified during the integration tests of the including system. Depending on the complexity, risk associated with the COTS product, and how it is used, the cognizant individual may elect to test and certify the COTS product alone rather than test and certify it as a part of the including system.

Documented and Certified as Not-date-affected applies whenever the inventory item is not date affected, independent of whether it is JPL implemented or a COTS product.

For all certifications the Y2k Project desires to use the minimum documentation necessary to record technically sound certifications. Only one certification is needed for each inventory item listed in the JPL Y2k Project database.

B. Waivers

The waiver process follows the JPL policy on Waivers. Section III describes procedures for 6 waiver situations.

Variance from Minimum Test Requirements applies whenever the tests planned for an inventory item are less than the minimum test requirements for the risk category assigned to the item.

Variances for more extensive testing do not require waivers.

Changes to Planned Completion Dates, Especially Past NASA Required Dates for Mission-critical Systems applies whenever there is a change to the planned completion date of any phase for mission critical items in the JPL NASA database. It especially applies whenever the NASA prescribed completion dates cannot be met. This latter situation requires approval by NASA.

Variance from NASA Required Dates, Non Mission-critical Systems applies whenever the NASA prescribed completion dates for non mission-critical items in the JPL NASA inventory cannot be met.

Non-compliant Inventory Item and No Corrective Action Planned applies whenever no corrective action is planned for any item in the JPL Y2k Project database that does not comply with *JPL Year 2000 Compliance Requirements, D-15859* and will not be retired.

Non-Compliant Inventory Item Retired after March 1999 but before December 1999 applies whenever a non-compliant item that will be retired or replaced will continue in service after March 1999.

Grandfather Clause applies to inventory items that completed Y2k compliance testing prior to 2 July 1998.

C. Disapproved Certifications or Waivers

If a requested certification or waiver is disapproved and the initiating party desires to appeal, the normal Laboratory appeal process shall be followed. That is, the issue is raised to the next higher level of signature authority above the authority that disapproved the certification or waiver.

II. Certification Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
A. Vendor-certified Commercial-Off-the-Shelf Products			
<p>1. The vendor certifies in writing that the product is Y2k compliant, and there are no exceptions that are pertinent to JPL usage of the product.</p>	<p>1. Documentation must be commensurate with the risk level. See <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-3</i>, for definition of risk levels.</p> <p>2. Documentation may include standard product literature, analysis reports, test reports, test procedures, or commercial certification statements.</p> <p>3. Electronic form preferred; paper accepted reluctantly.</p>	<p>1. The JPL cognizant individual understands the test criteria, test procedure, and test environment that the vendor used to determine compliance.</p> <p>2. The test criteria, test procedure, and test environment are appropriate for the JPL use.</p> <p>3. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2k Project Engineering Manager, and (4) Y2k Project Manager.</p> <p>4. Optional concurrence: program, project, or line management at their discretion.</p>	<p>1. Cognizant individual completes the analysis and test planning.</p> <p>2. Cognizant individual obtains and prepares documentation.</p> <p>3. Cognizant individual obtains approvals up through immediate supervisor. (See Attachment 1.)</p> <p>4. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent.</p> <p>5. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval.</p> <p>6. Y2k Project Control Manager sends e-mail notification of submission to cognizant Y2k directorate and technical division representatives.</p> <p>7. Upon approval or disapproval, Y2k Project Control Manager sends e-mail notification to interested parties.</p>

II. Certification Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
B. JPL-tested-and-certified Commercial-Off-the-Shelf Products			
<p>1. The vendor certification is unknown or inadequate for the intended JPL use.</p> <p>2. The JPL cognizant individual or agent has completed Y2k compliance tests of the COTS product in the environment in which the product will be used.</p>	<p>1. Documentation must be commensurate with the risk level. See <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-3</i>, for definition of risk levels.</p> <p>2. Documentation may include standard product literature, analysis reports, test reports, test procedures, or commercial certification statements.</p> <p>3. Test Report, appropriate check sheet from <i>JPL Year 2000 Test Requirements and Procedures Guide, D-15891</i>, or equivalent check list.</p> <p>4. Electronic form preferred; paper accepted reluctantly.</p>	<p>1. If the product is used as an integral part of another JPL system, the system has passed Y2k system level tests with no faults attributable to the COTS product.</p> <p>2. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2k Project Engineering Manager, and (4) Y2k Project Manager.</p> <p>3. Optional concurrence: program, project, or line management at their discretion.</p>	<p>1. Cognizant individual completes the analysis and test planning.</p> <p>2. Cognizant individual obtains and prepares documentation.</p> <p>3. Cognizant individual obtains approvals up through immediate supervisor. (See Attachment 2.)</p> <p>4. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent.</p> <p>5. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval.</p> <p>6. Y2k Project Control Manager sends e-mail notification of submission to cognizant Y2k directorate and division representatives.</p> <p>7. Upon approval or disapproval, Y2k Project Control Manager sends e-mail notification to interested parties.</p>

II. Certification Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
C. JPL-implemented Systems			
<p>1. The JPL cognizant individual or agent has completed inspection, analysis, and system level testing for Y2k compliance commensurate with the risk level of the item.</p> <p>2. The item passed the tests in accordance the requirements of <i>JPL Year 2000 Compliance Requirements, D-15859</i>.</p>	<p>1. Documentation must be commensurate with the risk level. See <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-3</i>, for definition of risk levels.</p> <p>2. Code inspection and analysis report, See Y2K123, <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-4</i>.</p> <p>3. Test plan and procedure.</p> <p>4. Test Report, appropriate check sheet from <i>JPL Year 2000 Test Requirements and Procedures Guide, D-15891</i>, or equivalent check list.</p> <p>5. Electronic form preferred; paper accepted reluctantly.</p>	<p>1. The item has passed Y2k system level tests with no Criticality 1 faults. See <i>Memorandum of Agreement on a Common Language for Problem Reporting at Reviews, JPL D-7101, p.3</i>.</p> <p>2. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2k Project Engineering Manager, and (4) Y2k Project Manager.</p> <p>3. Optional concurrence: program, project, or line management at their discretion.</p>	<p>1. Cognizant individual completes the analysis and test planning.</p> <p>2. Cognizant individual obtains and prepares documentation.</p> <p>3. Cognizant individual obtains approvals up through immediate supervisor. (See Attachment 2.)</p> <p>4. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent.</p> <p>5. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval.</p> <p>6. Y2k Project Control Manager sends e-mail notification of submission to cognizant Y2k directorate and division representatives.</p> <p>7. Upon approval or disapproval, Y2k Project Control Manager sends e-mail notification to interested parties.</p>

II. Certification Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
D. Documented and Certified as Not-date-affected			
<p>1. The JPL cognizant individual or agent has completed inspection, and analysis for Y2k compliance commensurate with the risk level of the item.</p>	<p>1. Documentation must be commensurate with the risk level. See <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-3</i>, for definition of risk levels.</p> <p>2. Code inspection and analysis report, See Y2K123, <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-4</i>.</p> <p>3. Appropriate check sheet from <i>JPL Year 2000 Test Requirements and Procedures Guide, D-15891</i>, or equivalent check list.</p> <p>4. Electronic form preferred; paper accepted reluctantly.</p> <p>5. Multiple items that are variations of a common design may submit a common report or check sheet for items 2 and 3 above to avoid unnecessary duplication.</p>	<p>1. The inventory item is not date affected.</p> <p>2. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2k Project Engineering Manager, and (4) Y2k Project Manager.</p> <p>3. Optional concurrence: program, project, or line management at their discretion.</p>	<p>1. Cognizant individual completes the analysis and test planning.</p> <p>2. Cognizant individual obtains and prepares documentation.</p> <p>3. Cognizant individual obtains approvals up through immediate supervisor. (See Attachment 3.)</p> <p>4. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent.</p> <p>5. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval.</p> <p>6. Y2k Project Control Manager sends e-mail notification of submission to cognizant Y2k directorate and division representatives.</p> <p>7. Upon approval or disapproval, Y2k Project Control Manager sends e-mail notification to interested parties.</p>

III. Waiver Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
A. Variance from Minimum Test Requirements			
<p>1. The mission criticality and risk level of the inventory item is defined. See <i>JPL Year 2000 Compliance Requirements, D-15859, p. 1-3</i>, for definition of risk levels.</p> <p>2. The test plan for the inventory item is ready for publication or release if under configuration control.</p> <p>3. An analysis of the potential consequences of an undetected latent fault due to the proposed variance.</p>	<p>A concise interoffice memorandum that states:</p> <ol style="list-style-type: none"> 1. Name of the inventory item affected by the requested waiver. 2. Mission criticality and risk category assigned to the item. 3. The requirement being waived, including the object identifier, {Y2Knnn}. 4. Explicit statement of proposed alternate requirement. 5. The reasons for requesting the waiver. 6. The potential consequences of an undetected latent fault due to the proposed variance. 7. Electronic form preferred; paper accepted reluctantly. 	<ol style="list-style-type: none"> 1. The potential consequences of an undetected fault including cost are commensurate with the risk category of the inventory item, or 2. For the inventory item the test requirement is impracticable. 3. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2k Project Engineering Manager, (4) JPL Chief Information Officer Representative, and (5) Y2K Project Manager. 4. Optional concurrence: program, project, or line management at their discretion. 	<ol style="list-style-type: none"> 1. Cognizant individual completes the analysis and test planning. 2. Cognizant individual obtains and prepares documentation. 3. Cognizant individual obtains approvals up through immediate supervisor. 4. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent. 5. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval. 6. Y2k Project Control Manager sends e-mail notification of submission to cognizant Y2k directorate and division representatives. 7. Upon approval or disapproval, Y2k Project Control Manager sends e-mail notification to interested parties. 8. Y2k Project Control Manager updates accounting to NASA Y2k Program Manager.

III. Waiver Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
B. Changes to Planned Completion Dates, Especially Past NASA Required Dates for Mission-critical Systems (i.e., a change in baseline schedule for any phase, renovation, validation, or implementation.)			
1. Item meets the criteria for identification in the inventory per <i>Year 2000 (Y2k) Inventory Requirements, Y2k Policy Y2k-1</i> . 2. Thorough identification and analysis of the effect on and risks to JPL and NASA.	A concise interoffice memorandum that states: 1. Name of the inventory item affected by the requested waiver. 2. Mission criticality and risk category assigned to the item. 3. Proposed new dates. 4. Description of the business, programmatic, technical, or operational rationale for not meeting the NASA required completion date. 5. Description of specific actions taken and the plan to assure meeting proposed new date. 6. Description and evaluation of the effects and risks to the JPL and the NASA. 7. Electronic form preferred; paper accepted reluctantly.	1. All things considered, the proposed plan best meets the JPL and NASA objectives. 2. The risks are acceptable to all of the affected stakeholders. 3. Required approval signatures: (1) cognizant JPL individual, (2) cognizant individual's immediate supervisor, (3) cognizant JPL project manager, (4) cognizant JPL Director for, (5) JPL Chief Information Officer Representative, (6) Y2K Project Manager, and (7) JPL Director or JPL Deputy Director. 4. If the new completion dates are later than the NASA required completion dates, the required signatures are the above plus (8) Enterprise Associate Administrator, and (9) NASA Chief Information Officer.	1. Cognizant individual performs the analysis and planning. 2. Cognizant individual prepares the documentation. 3. Cognizant individual obtains the approvals up through the JPL Director for. 4. Cognizant individual forwards approved documentation to JPL Y2k Project Manager to obtain subsequent approvals.

III. Waiver Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
C. Variance from NASA Required Dates, Non Mission-critical Systems (i.e., a change in baseline schedule for any phase, renovation, validation, or implementation.)			
1. Item meets the criteria for identification in the inventory per <i>Year 2000 (Y2k) Inventory Requirements, Y2k Policy Y2k-1</i> . 2. Thorough identification and analysis of the effect and risks to the JPL and the NASA.	A concise interoffice memorandum that states: 1. Name of the inventory item affected by the requested waiver. 2. Mission criticality and risk category assigned to the item. 3. Proposed new dates. 4. Description of the business, programmatic, technical, or operational rationale for not meeting the NASA required completion date. 5. Description of specific actions taken and the plan to assure meeting proposed new date. 6. Description and evaluation of the effects on and risks to the JPL and the NASA. 7. Electronic form preferred; paper accepted reluctantly.	1. All things considered, the proposed plan best meets the JPL and NASA objectives. 2. The risks are acceptable to all of the affected stakeholders. 3. Required approval signatures: (1) cognizant JPL individual, (2) cognizant individual's immediate supervisor, (3) cognizant JPL project manager, (4) cognizant JPL Director for, (5) JPL Chief Information Officer Representative, and (6) Y2K Project Manager.	1. Cognizant individual performs the analysis and planning. 2. Cognizant individual prepares the documentation. 3. Cognizant individual obtains the approvals up through the JPL Director for. 4. Cognizant individual forwards approved documentation to JPL Y2k Project Manager to obtain subsequent approvals.

III. Waiver Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
D. Non-compliant Inventory Item and No Corrective Action Planned			
<p>1. Item meets the criteria for identification in the inventory per <i>Year 2000 (Y2k) Inventory Requirements, Y2k Policy Y2k-1</i>.</p> <p>2. Thorough identification and analysis of the effect on and risks to the JPL and the NASA.</p>	<p>A concise interoffice memorandum that states:</p> <ol style="list-style-type: none"> 1. Name of the non-compliant inventory item. 2. Mission criticality and risk category assigned to the item. 3. Description of the business, programmatic, technical, or operational rationale for not taking corrective action. 4. Description and evaluation of the effects on and risks to the JPL and the NASA. 5. Electronic form preferred; paper accepted reluctantly. 	<ol style="list-style-type: none"> 1. The risks are acceptable to all of the affected stakeholders. 2. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) managers of affected programs, projects, and processes, (4) Y2k Project Engineering Manager, (5) JPL Chief Information Officer Representative, and (6) Y2K Project Manager. 	<ol style="list-style-type: none"> 1. Cognizant individual thoroughly identifies, analyze and document the risks of taking no corrective action. 2. Cognizant individual obtains approvals up through affected program, project, or office managers. 3. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent. 4. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval. 5. Upon approval or disapproval Y2k Project Control Manager sends e-mail notification to interested parties. 6. Y2k Project Control Manager updates accounting to NASA Y2k Program Manager.

III. Waiver Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
E. Non-Compliant Inventory Item Retired after March 1999			
<p>1. Item meets the criteria for identification in the inventory per <i>Year 2000 (Y2k) Inventory Requirements, Y2k Policy Y2k-1</i>.</p> <p>2. Planned remediation is to replace or retire item.</p>	<p>A concise interoffice memorandum that states:</p> <ol style="list-style-type: none"> 1. Name of the non-compliant inventory item. 2. Mission criticality and risk category assigned to the item. 3. Description of the business, programmatic, or operational rationale for keeping the item in service past March 1999. 4. Electronic form preferred; paper accepted reluctantly. 	<ol style="list-style-type: none"> 1. There is value to JPL and NASA in keeping the item in service until the planned retirement date. 2. There is a definite retirement date that is before 1999-12-31. 3. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2K Project Manager. 	<ol style="list-style-type: none"> 1. Cognizant individual sends documentation to Y2k Project Manager for approval and a copy to Y2k Project Control Manager. 2. Upon approval or disapproval Y2k Project Control Manager sends e-mail notification to interested parties. 3. Y2k Project Control Manager updates accounting to NASA Y2k Program Manager.

III. Waiver Procedures			
Prerequisites	Documentation	Approval Criteria	Procedure
F. Grandfather Clause			
<p>1. Inventory item completed Y2k testing prior to 2 July 1998.</p> <p>2. The item has passed Y2k system level tests with no Criticality 1 faults. See <i>Memorandum of Agreement on a Common Language for Problem Reporting at Reviews, JPL D-7101, p. 3.</i></p>	<p>A concise interoffice memorandum that states:</p> <ol style="list-style-type: none"> 1. Name of the inventory item affected by the requested waiver. 2. Mission criticality and risk category assigned to the item. 3. A comparison of the actual tests performed and the minimum test requirements per <i>JPL Year 2000 Compliance Requirements, D-15859, p. 2-6.</i> 4. Test Report, appropriate check sheet from <i>JPL Year 2000 Test Requirements and Procedures Guide, D-15891</i>, or equivalent check list. 5. Electronic form preferred; paper accepted reluctantly. 	<ol style="list-style-type: none"> 1. The test approach meets the minimum test requirements and criteria of <i>JPL Year 2000 Compliance Requirements, D-15859, p. 2-6.</i> 2. The processes followed meet the intent of <i>JPL Year 2000 Compliance Requirements, D-15859, p. 4-1</i>, through comparable test and certification processes. 3. Required approval signatures: (1) JPL cognizant individual, (2) cognizant individual's immediate supervisor, (3) Y2k Project Engineering Manager, (4) JPL Chief Information Officer Representative, and (5) Y2k Project Manager. 4. Optional concurrence: program, project, or line management at their discretion. 	<ol style="list-style-type: none"> 1. Cognizant individual obtains and prepares documentation. 2. Cognizant individual obtains approvals up through affected program, project, or office managers. 3. Cognizant individual reviews documentation with and obtains the approval of Y2k Project Engineering Manager or his agent. 4. Y2k Project Engineering Manager forwards documentation to Y2k Project Manager for approval. 5. Y2k Project Control Manager sends e-mail notification of submission to cognizant Y2k directorate and division representatives. 6. Upon approval or disapproval, Y2k Project Control Manager sends e-mail notification to interested parties. 7. Y2k Project Control Manager updates accounting to NASA Y2k Program Manager.

IV. Occasionally Asked Questions

1. Why are so #@!! many signatures required; can't you reduce the number?

The primary value added signatures are those of the cognizant individual, the cognizant individual's immediate supervisor, and the Y2k Project Engineering Manager. Except for certain waivers, these are the normal minimum number appropriate for our business. However, the Y2k problem has extraordinarily high political visibility and sensitivity. Thus, our customer, NASA, needs assurance that Y2k decisions have the attention and consideration of top JPL management. NASA, therefore, requires the additional signatures. With the exception of waivers to not fix noncompliant items, the burden of acquiring signatures above the Y2k Project Engineering Manager is assumed by the Project to minimize the burden on the cognizant individuals. Waivers to not fix noncompliant items can affect a broad set of programs or projects; thus, broad approval by all affected parties is appropriate.

2. How do we handle software written for JPL by a contractor who certifies that the software is compliant?
Depending on the circumstances, use either the COTS, II.A., or the JPL Tested COTS, II.B., procedure.

3. If vendor certifies the product, why would we test the product outside of a JPL system test?

This case would apply if we do not have sufficient confidence in the vendor's certification or if the certification does not cover our usage. The JPL test could range from an independent stand-alone test of the product to only a test as part of a larger system test. The important consideration is that the functions and environment that are important to our use be tested sufficiently. Notice that the prerequisite test is "...compliance test of the COTS product in the environment in which the product will be used."

4. What is the evidence for waivers that risks are acceptable to stakeholders?

Signatures of the affected stakeholders such as affected program or project managers.

5. How does this waiver process fit in with the institutional one in DMIE?

This waiver process is a hybrid between JPL Category B requirements and NASA Headquarters requirements. The procedure and signature requirements were specified accordingly. Since the "standard Waiver Request/Approval procedure" mentioned in the JPL Waiver Policy is not released yet, the Y2k Project wrote suitable procedures and forms.

6. Prerequisites for Variance from Minimum Test Requirements mention a released test plan. Does that infer "release" in a configuration management sense? If so, where is all that covered?

The Y2k Project presumes that the issue of a waiver to test requirements arises during the formulation of the test plan. The Project also presumes that if it arises before the formulation of a test plan that the issue is premature. Thus, a prerequisite is the existence of a test plan. However, it need not be final, released, or formally published at the point a waiver is requested. The Y2k Project does not specify the configuration management process for the test plans. The Y2k tests can be part of the normal complete testing of a system. Thus, the configuration management process of the plan can be that normally used by the program or project owning the system that is the subject of the waiver.

7. The forms use the term "certify". Does that imply something legally?

It means "To confirm formally as true, accurate, or genuine"; the individual that signs the certification agrees as a professional with the intellectual integrity of the certification statements made on the form.

8. What do we do about "unknown" COTS or freeware?

If the item must be used or cannot be replaced and we do not know the Y2k compliance status, the only alternative is to test it to the degree of rigor appropriate to the risk level.

V. Attachments

Attachment 1: JPL Year 2000 Inventory Certification for Vendor-certified Products

Attachment 2: JPL Year 2000 Inventory Item Certification for JPL Tested Items

Attachment 3: JPL Year 2000 Inventory Item Certification Not-date-affected Items

JPL**Year 2000 Inventory Item Certification****Vendor-certified Products**

Completion and approval of this form indicates that vendor documentation certifies Y2k compliance of the listed products. In shaded cells, highlight entire cell before typing. Date format is yyyy-mm-dd.

Inventory Item	Item No.	JPL Cognizant Individual	Date Certified	JPL Cog. Individ. Signature	JPL Supervisor Signature	Date

Comments:

We certify that these inventory items meet the JPL Year 2000 compliance requirements.

Name _____ Signature _____ Date _____
Year 2000 Project Engineering Manager

Name _____ Signature _____ Date _____
Y2000 Project Manager

JPL**Year 2000 Inventory Item Certification****JPL-tested Items**

Completion and approval of this form indicates that the inventory item identified below including its components (hardware, software, firmware, and COTS) has passed the JPL Y2k required tests. Based on these tests, the inventory item is now ready for operational or production use. In shaded fields, highlight entire field before typing. Date format is *yyyy-mm-dd*.

Inventory Item: _____ Date Certified: _____
Inventory No.: _____
Mission Criticality: Select Level Risk Level: Select Level
Level of Test Conducted: _____

Comments:

We certify that this inventory item meets JPL Year 2000 compliance requirements commensurate with the assigned risk level.

Name _____ Signature _____ Date _____
Cognizant Individual's Supervisor

Name _____ Signature _____ Date _____
Cognizant Individual

Name _____ Signature _____ Date _____
Year 2000 Project Engineering Manager

Name _____ Signature _____ Date _____
Y2000 Project Manager

JPL**Year 2000 Inventory Item Certification****Not-date-affected Items**

Completion and approval of this form indicates that items listed below are not affected by Y2k transitions. In shaded cells, highlight entire cell before typing. Date format is yyyy-mm-dd.

Inventory Item	Item No.	JPL Cognizant Individual	Date Certified	JPL Cog. Indiv. Signature	JPL Supervisor Signature	Date

Comments:

We certify that the inventory items above are not date affected.

Name _____ Signature _____ Date _____
Year 2000 Project Engineering Manager

Name _____ Signature _____ Date _____
Y2000 Project Manager